



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/701,200	11/27/2000	George Friedman	1243-00	7269

35811 7590 01/14/2004

IP DEPARTMENT OF PIPER RUDNICK LLP  
3400 TWO LOGAN SQUARE  
18TH AND ARCH STREETS  
PHILADELPHIA, PA 19103

EXAMINER
----------

THAI, TUAN V

ART UNIT	PAPER NUMBER
----------	--------------

2186

DATE MAILED: 01/14/2004

6

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/701,200

Applicant(s)

FRIEDMAN ET AL.

Examiner

Tuan V. Thai

Art Unit

2186

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 03 April 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 27 November 2000 is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4. 6) ☐ Other: \_\_\_\_\_

Serial Number: 09/701,200  
Art Unit: 2186

**Part III DETAILED ACTION**

***Specification***

1. Claims 1-20 are presented for examination.
2. Applicant is reminded of the duty to fully disclose information under 37 CFR 1.56.

***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. § 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

- (e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-12 and 17-20 are rejected under 35 U.S.C. § 102(e) as being anticipated by Bapat et al., hereinafter Bapat (USPN: 6,038,563).

As per claims 1 and 5; Bapat discloses the invention as claimed including a system and method for monitoring a registry monitoring system comprises requesting (a) a handle for a

Serial Number: 09/701,200  
Art Unit: 2186

registry key to a calling process and (b) a registry key value for the handle is equivalently taught as requesting access to specified sets of the managed objects in a control database (e.g. see abstract; figures 1-2 and 4-5; column 3, lines 17 et seq.); obtaining security clearance to complete the requests is taught as an access control server provides access to the managed objects in accordance with the access rights specified by the access control database (e.g. see abstract, column 3, lines 21 et seq.).

As per claims 2-4 and 6-8; Bapat clearly discloses determining a process ID and registry key value, /checking the secured process list to (a) allow the request to complete if the process is not on the secured list or (b) denying the process access to the registry value if the registry key is on the rejection list; also if the registry is not on the rejection list and on the secured process list, processing the value request and allowing the request to be completed if the value is not on the rejection list, and denying access to the registry key value if the value is on the rejection list. For example, it should be noted that, Bapat discloses his database management system stores the management information (process ID and registry key value as being claimed) sent by the information transfer mechanism in a set of database tables, wherein each database table stores the management information for corresponding managed objects in individual rows (e.g. see abstract, column 3, lines 26-30);

Serial Number: 09/701,200  
Art Unit: 2186

noting that Bapat further discloses *an access control procedure limits access to the management information stored in the database tables using at least one permission table* (e.g. see column 3, lines 31 et seq.; column 26, lines 10 et seq.), wherein a database access engine accesses information in the set of database tables using the permission table such that each user is allowed access only to management information in the set of database that the user would be allowed by the access control data to access (e.g. see column 3, lines 41-45; column 27, lines 47 et seq.).

As per claims 9-12 and 17-20, they encompass the same scope of invention as to that of claims 1-4 and 5-8 respectively; the claims are therefore rejected for the same reason as being set forth above.

#### ***Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Serial Number: 09/701,200  
Art Unit: 2186

6. Claims 13-16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Bapat et al. (USPN: 5,961,628); hereinafter Bapat.

As per claims 13-16; Bapat discloses the invention as claimed, detailed above with respect to claims 1, 5, 9 and 17; Bapat however does not particularly disclose a computer-readable medium comprising computer executable instructions for performing method recited in claims 1, 5, 9 and 17. However, one of ordinary skill in the art would have recognized that computer readable medium (i.e., floppy, cd-rom, etc.) carrying computer-executable instructions for implementing a method, because it would facilitate the transporting and installing of the method on other systems, is generally well-known in the art. For example, a copy of the Microsoft Windows operating system can be found on a cd-rom from which Windows can be installed onto other systems, which is a lot easier than running a long cable or hand typing the software onto another system. The examiner takes Official Notice of this teaching. Therefore, it would have been obvious to put Bapat's program on a computer readable medium, because it would facilitate the transporting, installing and implementing of Bapat's program on other systems.

Serial Number: 09/701,200  
Art Unit: 2186

**Conclusion**

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

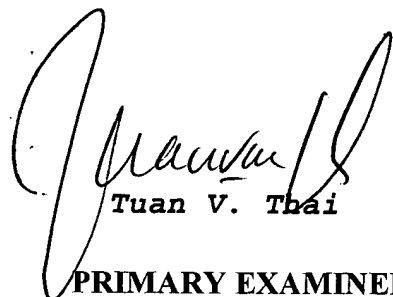
8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tuan V. Thai whose telephone number is 703-305-3842.

The examiner can normally be reached on Monday-Thursday from 6:30 AM to 4:00 PM. The examiner can also be reached on alternate Fridays or e-mailed at ***tuan.thai@uspto.gov***;

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor Matthew M. Kim can be reached on (703) 305-3821. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 305-3900.

**TVT**/January 09, 2004

  
**Tuan V. Thai**  
**PRIMARY EXAMINER**

**Group 2100**